

TRANSMITTAL LETTER
(General - Patent Pending)Docket No.
RMI-5707CIP4CON6

In Re Application Of:

Denise Barut et al.

Application No.

10/750,701

Filing Date

December 31, 2003

Examiner

Customer No.

30452

Group Art Unit

3731

Confirmation No.

4117

Title:

CANNULA WITH ASSOCIATED FILTER AND METHODS OF USE DURING CARDIAC SURGERY**RECEIVED**
CENTRAL FAX CENTER**SEP 16 2004****TO THE DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE:**

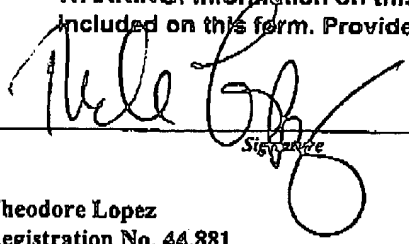
Transmitted herewith is:

Power of Attorney & Correspondence Address Indication Form**Statement Under 37 CFR 3.73(b)****Copy of Assignment Recorded on 4/29/2003****BEST AVAILABLE COPY**

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-1225** as described below.
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- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.Dated: **September 16, 2004**



Signature

Theodore Lopez
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Facsimile: (949) 250-6850

cc: Customer No. 30452

I hereby certify that these papers and all enclosures are being sent via facsimile on September 16, 2004 to Commissioner for Patents at Facsimile No. (703) 872-9306.



Signature of Person Sending Correspondence

Melissa Sanchez

Typed or Printed Name of Person Sending Correspondence

PTO/SB/81 (08-04)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/750.701
Filing Date	December 31, 2003
First Named Inventor	Denise Barbut et al.
Title	Cannula with Associated Filter . . .
Art Unit	3731
Examiner Name	Unknown
Attorney Docket Number	RMI-5707CIP4CON6

I hereby appoint:



Practitioners associated with the Customer Number:

30452

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:



The address associated with the above-mentioned Customer Number:

OR



The address associated with Customer Number:

OR



Firm or Individual Name

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Country

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Telephone

949 250-6856

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I am the:




Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Signature		Date	Sept 16, 2004
Name	Jay P. Wertheim	Telephone	949 250-6856
Title and Company	Vice President, Associate General Counsel & Corporate Secretary		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple



*Total of 3 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending on the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/98 (08-04)

Approved for use through 07/31/2006. OMB 0951-0031
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Edwards Lifesciences CorporationApplication No./Patent No.: 10/750,701Filed/Issue Date: December 31, 2003Entitled: CANNULA WITH ASSOCIATED FILTER AND METHODS OF USE DURING CARDIAC SURGERYEdwards Lifesciences Corporation, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013998, Frame 0632, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

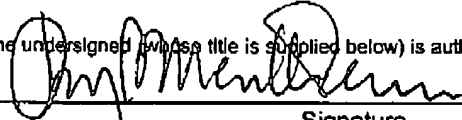
1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document (s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.



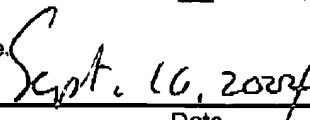
Signature

Jay P. Wertheim

Printed or Typed Name

Vice President, Associate General Counsel &
Corporate Secretary

Title



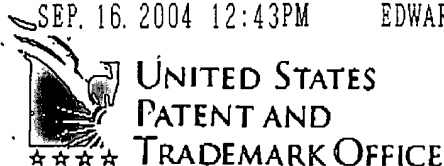
Date

949 250-6815

Telephone number

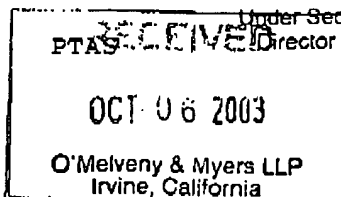
This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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SEPTEMBER 29, 2003

O'MELVENY & MYERS LLP
DAVID B. MURPHY
114 PACIFICA, SUITE 100
IRVINE, CA 92618-3315



Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
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102437798A

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RECORDATION DATE: 04/29/2003

REEL/FRAME: 013998/0632
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

EMBOL-X, INC.

DOC DATE: 04/17/2003

ASSIGNEE:

EDWARDS LIFESCIENCES CORPORATION
ONE EDWARDS WAY
IRVINE, CALIFORNIA 92614

SERIAL NUMBER: 09016714
PATENT NUMBER: 6592546

*RMI-5708
CIPCON4*

FILING DATE: 01/30/1998
ISSUE DATE: 07/15/2003

SERIAL NUMBER: 09365650
PATENT NUMBER:

RMI-5745

FILING DATE: 08/02/1999
ISSUE DATE:

SERIAL NUMBER: 09439646
PATENT NUMBER:

RMI-5734

FILING DATE: 11/12/1999
ISSUE DATE:

SERIAL NUMBER: 09467293
PATENT NUMBER:

*RMI-5708
CIP2CON2*

FILING DATE: 12/17/1999
ISSUE DATE:

O'Melveny & Myers LLP
File: 244,610-

Action Item: _____

Date Due: _____

Critical Date: _____

Attorney Path: JCK

Docketed By: _____

Verified By: _____

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SERIAL NUMBER: 09478818	<i>RM1-5708</i>	FILING DATE: 01/07/2000
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PATENT NUMBER: 6569182	<i>CON</i>	ISSUE DATE: 05/27/2003
SERIAL NUMBER: 09549989	<i>RM1-5738 CON</i>	FILING DATE: 04/14/2000
PATENT NUMBER:		ISSUE DATE:
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PATENT NUMBER: 6551268		ISSUE DATE: 04/22/2003
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PATENT NUMBER: 6626866		ISSUE DATE: 09/30/2003
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PATENT NUMBER:		ISSUE DATE:
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PATENT NUMBER:		ISSUE DATE:
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PATENT NUMBER:		ISSUE DATE:

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ISSUE DATE:

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PATENT NUMBER: *CON 2* FILING DATE: 11/29/2001
ISSUE DATE:

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PATENT NUMBER: *CON 4* FILING DATE: 10/31/2001
ISSUE DATE: *RMI-5724*

SERIAL NUMBER: 10002424 *RMI-5734*
PATENT NUMBER: *CON* FILING DATE: 10/31/2001
ISSUE DATE:

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PATENT NUMBER: *CIP 4 CON 5* FILING DATE: 11/30/2001
ISSUE DATE: *DIVISIONAL*

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PATENT NUMBER: FILING DATE: 11/06/2001
ISSUE DATE:

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PATENT NUMBER: FILING DATE: 01/03/2002
ISSUE DATE:

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PATENT NUMBER: *DIV 3 CON 2* FILING DATE: 10/24/2001
ISSUE DATE:

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ISSUE DATE:

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PATENT NUMBER: FILING DATE: 03/05/2002
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ISSUE DATE:

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PATENT NUMBER: FILING DATE: 11/04/2002
ISSUE DATE:

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PATENT NUMBER: *CON 2* FILING DATE: 11/12/2002
ISSUE DATE:

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PATENT NUMBER: *CON 5* FILING DATE: 11/12/2002
ISSUE DATE:

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PATENT NUMBER: 6152948		ISSUE DATE: 11/28/2000

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SERIAL NUMBER: 09421155	<i>RMI-5708</i>	FILING DATE: 10/19/1999
PATENT NUMBER: 6217548	<i>CIP3</i>	ISSUE DATE: 04/17/2001
SERIAL NUMBER: 09443581	<i>RMI-5725</i>	FILING DATE: 11/18/1999
PATENT NUMBER: 6224620	<i>CON2</i>	ISSUE DATE: 05/01/2001
SERIAL NUMBER: 09531726	<i>RMI-5712</i>	FILING DATE: 03/21/2000
PATENT NUMBER: 6228053	<i>CON</i>	ISSUE DATE: 05/08/2001
SERIAL NUMBER: 08854806	<i>RMI-5708</i>	FILING DATE: 05/12/1997
PATENT NUMBER: 6231544	<i>CIP</i>	ISSUE DATE: 05/15/2001
SERIAL NUMBER: 09455874	<i>RMI-5707</i>	FILING DATE: 12/06/1999
PATENT NUMBER: 6235045	<i>CIP4 CON4</i>	ISSUE DATE: 05/22/2001
SERIAL NUMBER: 09365991	<i>RMI-5731</i>	FILING DATE: 08/03/1999
PATENT NUMBER: 6245087		ISSUE DATE: 06/12/2001
SERIAL NUMBER: 09131181	<i>RMI-5713</i>	FILING DATE: 08/07/1998
PATENT NUMBER: 6251119		ISSUE DATE: 06/26/2001
SERIAL NUMBER: 08996532	<i>RMI-5723</i>	FILING DATE: 12/23/1997
PATENT NUMBER: 6258120		ISSUE DATE: 07/10/2001
SERIAL NUMBER: 09411483	<i>RMI-5746</i>	FILING DATE: 10/01/1999
PATENT NUMBER: 6267751	<i>CON</i>	ISSUE DATE: 07/31/2001
SERIAL NUMBER: 09149314	<i>RMI-5750</i>	FILING DATE: 09/08/1998
PATENT NUMBER: 6270490		ISSUE DATE: 08/07/2001
SERIAL NUMBER: 09455011	<i>RMI-5730</i>	FILING DATE: 12/03/1999
PATENT NUMBER: 6270513	<i>CON3</i>	ISSUE DATE: 08/07/2001
SERIAL NUMBER: 09369058	<i>RMI-5748</i>	FILING DATE: 08/04/1999
PATENT NUMBER: 6280432		ISSUE DATE: 08/28/2001
SERIAL NUMBER: 09441707	<i>RMI-5749</i>	FILING DATE: 11/16/1999
PATENT NUMBER: 6287321	<i>CON</i>	ISSUE DATE: 09/11/2001
SERIAL NUMBER: 09562799	<i>RMI-5739</i>	FILING DATE: 05/02/2000
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SERIAL NUMBER: 09630805	<i>RMI-5724</i>	FILING DATE: 08/02/2000
PATENT NUMBER: 6319268	<i>CON 2</i>	ISSUE DATE: 11/20/2001
SERIAL NUMBER: 09350780	<i>RMI-5709 CON</i>	FILING DATE: 07/09/1999
PATENT NUMBER: 6350341		ISSUE DATE: 02/26/2002
SERIAL NUMBER: 09616985	<i>RMI-5740 CON</i>	FILING DATE: 07/14/2000
PATENT NUMBER: 6352530		ISSUE DATE: 03/05/2002
SERIAL NUMBER: 09568532	<i>RMI-5741 CON</i>	FILING DATE: 05/09/2000
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SERIAL NUMBER: 09473584	<i>RMI-5722</i>	FILING DATE: 12/28/1999
PATENT NUMBER: 6406471		ISSUE DATE: 06/18/2002
SERIAL NUMBER: 09691641	<i>RMI-5707</i>	FILING DATE: 10/18/2000
PATENT NUMBER: 6423086	<i>CIP 4 CON 5</i>	ISSUE DATE: 07/23/2002
SERIAL NUMBER: 09145808	<i>RMI-5735</i>	FILING DATE: 09/02/1998
PATENT NUMBER: 6440120		ISSUE DATE: 08/27/2002
SERIAL NUMBER: 09691386	<i>RMI-5729</i>	FILING DATE: 10/17/2000
PATENT NUMBER: 6443957	<i>CON 2</i>	ISSUE DATE: 09/03/2002
SERIAL NUMBER: 09131158	<i>RMI-5737</i>	FILING DATE: 08/07/1998
PATENT NUMBER: 6461327		ISSUE DATE: 10/08/2002
SERIAL NUMBER: 09454240	<i>RMI-5720</i>	FILING DATE: 12/02/1999
PATENT NUMBER: 6468262		ISSUE DATE: 10/22/2002
SERIAL NUMBER: 09844895	<i>RMI-5731</i>	FILING DATE: 04/26/2001
PATENT NUMBER: 6494895	<i>CON</i>	ISSUE DATE: 12/17/2002
SERIAL NUMBER: 09642570	<i>RMI-5723</i>	FILING DATE: 08/17/2000
PATENT NUMBER: 6499487	<i>CON</i>	ISSUE DATE: 12/31/2002
SERIAL NUMBER: 10043869	<i>RMI-5741</i>	FILING DATE: 11/01/2001
PATENT NUMBER: 6500191	<i>CON 2</i>	ISSUE DATE: 12/31/2002
SERIAL NUMBER: 09846309	<i>RMI-5728</i>	FILING DATE: 04/30/2001
PATENT NUMBER: 6508826		ISSUE DATE: 01/21/2003
SERIAL NUMBER: 09893119	<i>RMI-5730</i>	FILING DATE: 06/26/2001
PATENT NUMBER: 6537297	<i>CON 4</i>	ISSUE DATE: 03/25/2003

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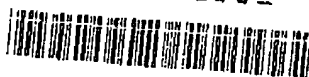
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If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): Please see Exhibits A and B (attached)

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5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David B. Murphy

Internal Address: O'Melveny & Myers LLP

114 Pacifica, Suite 100

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6. Total number of applications and patents involved: 109

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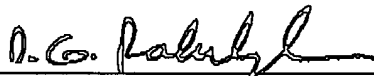
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WHEREAS, EMBOL-X, INC., a corporation organized and existing under and by virtue of the laws of the state of DELAWARE and having its principal place of business at 1635A South Main Street, Milpitas, CA 95035-6262 (hereinafter referred to as "ASSIGNOR"), have acquired the exclusive right, title and interest in the patents listed in EXHIBIT A and the patent applications listed in EXHIBIT B; and

WHEREAS, EDWARDS LIFESCIENCES CORPORATION, a corporation organized and existing under and by virtue of the laws of the state of DELAWARE and having its principal place of business at One Edwards Way, Irvine, CA 92614, (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said inventions and in, to and under any Patents or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns, transfers and sets over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said inventions and to all Letters Patents or applications or similar legal protections, including the right to file suit and obtain damages for past infringement, not only in the United States and its territorial possessions, but in all countries foreign thereto, to be obtained for said inventions by said patents and applications, and to any continuations, divisions, renewals, substitutes or reissues thereof or any legal equivalents thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

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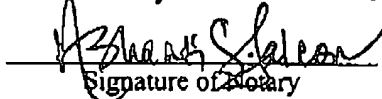


Don Rohrbaugh
President and CEO
EMBOL-X, INC.
1635A South Main Street
Milpitas, CA 95035-6262

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On 11 April, 2003 before me, Ashanti S. Falcon, Notary Public, personally appeared Don Rohrbaugh, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

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